

<b>Interview Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/583,048	SZABO, ANDREW	
	<b>Examiner</b>	<b>Art Unit</b>	
	Leslie Wong	2164	

All participants (applicant, applicant's representative, PTO personnel):

(1) Leslie Wong. (3)\_\_\_\_\_.

(2) Steven M. Hoffberg. (4)\_\_\_\_\_.

Date of Interview: July 12, Sept 18 06.

Type: a) ☒ Telephonic b) ☐ Video Conference  
c) ☐ Personal [copy given to: 1) ☐ applicant 2) ☐ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☐ No.  
If Yes, brief description: \_\_\_\_\_.

Claim(s) discussed: 1.

Identification of prior art discussed: Hao and Hazlehurst.

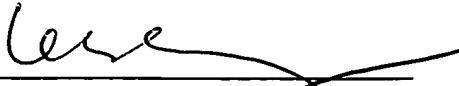
Agreement with respect to the claims f) ☒ was reached. g) ☐ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: See Continuation Sheet.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN A NON-EXTENDABLE PERIOD OF THE LONGER OF ONE MONTH OR THIRTY DAYS FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

  
Examiner's signature, if required

## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

#### Title 37, Code of Federal Regulations (CFR) § 1.133 Interviews

##### Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

##### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

#### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

Continuation of Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: Applicant's representative discussed the 101, double patenting issues, and the applied prior arts.

The representative indicated that he would like to withdraw the amendment to claim 32 that he previously amended to overcome the 101 issue because of the board's decision on the Ex Parte Carl A. Lundgren.

After consulting with 101 panel, Examiner pointed out to the representative that absent step d in claim 32 would appear to be incomplete under 112, 2nd and also appear to be non-statutory under 101 for failing to produce a tangible result that enables the usefulness of having done the organizing to be realized.

The representative then argued on the double patenting rejection.

The Examiner thought the arguments were persuasive; therefore the double patenting rejection is withdrawn.

Last, the representative argued that there is no disclosure on limitation "a selected object is automatically placed within the hierarchical organizational structure based on a respective information content of the at least two selected objects" as recited in claim 1. Hao does not teach or suggest any content analysis at all and the summary of the invention makes clear that the links are presumed to be provided externally or a priori, for use in generating a display representation. The representative further argued that the combination of Hazelhurst and Hao fails to meet the requirements of the claimed invention because Hazelhurst teaches against the missing teaching supplied by Hao.

On September 18, 2006, Examiner contacted the representative to suggest incorporating subject matter of claim 33 to all the independent claims in an effort to advance the application. Also the system claim 27 needs to have a memory or a processor to overcome the 101 issue. The representative agreed with the above mentioned suggestions and authorized the Examiner to enter the proposed amendments via an Examiner's Amendment.

SZABO-212A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Andrew Szabo  
Serial No. : 09/583,048  
Filed : May 30, 2000  
For : DATABASE ACCESS SYSTEM  
Art Unit : 2162  
Examiner : Leslie Wong

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September 21, 2006

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

SUGGESTED CHANGES FOR IMPLEMENTATION BY EXAMINER'S  
AMENDMENT

Interview Summary:

Applicant received a telephone call from Examiner Wong on Monday, September 18, 2006, proposing at (a) the subject matter of the application be limited to the scope of claim 33, which is deemed allowable, (b) that a processor or memory is required for patentability of the system claim 27. Applicant's undersigned attorney offered to submit proposed implementing amendments, to be reviewed by the Examiner and entered by Examiner's amendment as appropriate:

## IN THE CLAIMS

1. (Amended) A method of providing a human-computer user interface, comprising the steps of:

(a) providing a user with a user interface for defining and retrieving objects based on a resource locator thereof;

(b) providing access to an object search engine for selecting objects from a set of objects, according to a user-defined information content criteria, and returning at least respective resource locators of selected objects; and

(c) presenting to the user at least three of the selected objects according to a hierarchal organizational structure having at least three hierarchal levels, a respectively lower level falling within a respectively higher level having a generic characteristic, wherein a selected object is automatically placed within the hierarchal organizational structure based on a respective information content of the at least two selected objects, to thereby group objects having an information content relation and classify characteristics of objects within classes;

(d) inserting objects extrinsic to the selected objects responsive to the user-defined information content criteria, into classes within the hierarchal organizational structure, said extrinsic objects having a contextual relevance to respective information content of a hierarchal level in which they are inserted, wherein at least one of an insertion and a selection by the user of an extrinsic object is selectively associated with a sponsor payment; and

(e) accounting in a database for said sponsor payments.

2. (Cancelled) ~~The method according to claim 1, further comprising the step of inserting objects extrinsic to the user-defined information content criteria into the hierarchal organizational structure of selected objects.~~

3. (Amended) The method according to claim 1 2, wherein the extrinsic objects comprise commercial messages.

4. (Amended) The method according to claim 1 2, wherein the extrinsic objects comprise objects identified through a collaborative filter process.

5. (Amended) The method according to claim 1 2, wherein the extrinsic objects are contextually related to the user-defined information content criteria.

6. (Cancelled) ~~The method according to claim 2, wherein the extrinsic objects are contextually appropriate for a positioning within the hierarchal organizational structure.~~

7. (Previously Presented) The method according to claim 1, wherein the hierarchal organizational structure comprises a tree structure displaying at least three hierarchal levels within a graphic user interface.

8. (Original) The method according to claim 1, wherein the hierarchal organizational structure comprises a hyperbolic tree structure.
9. (Original) The method according to claim 1, wherein the hierarchal organizational structure comprises a display generated by a hyperbolic tree applet.
10. (Previously Presented) The method according to claim 3, further comprising the step of charging a commercial message sponsor for delivery of commercial messages based on a semantic context of message delivery.
11. (Previously Presented) The method according to claim 3, further comprising the step of charging a commercial message sponsor for delivery of commercial messages based on a value of a subsequent commercial transaction with the user.
12. ~~(Cancelled) The method according to claim 3, wherein the extrinsic objects are identified through a collaborative filter process.~~
13. ~~(Cancelled) The method according to claim 3, wherein the extrinsic objects are contextually related to the user defined information content criteria.~~
14. (Original) The method according to claim 1, wherein the hierarchal organizational structure comprises a state independent information object.

15. (Previously Presented) The method according to claim 1, further comprising the step of ranking members of the set of objects within a single hierarchal class based on a correspondence to the user-defined information content criteria.

16. (Original) The method according to claim 1, further comprising the step of receiving a ranking preference from the user for a ranking method for ranking members of the set of objects within a single hierarchal class.

17. (Original) The method according to claim 1, further comprising the step of graphically representing a history of access to the set of objects.

18. (Previously Presented) The method according to claim 1, further comprising the steps of manipulating an object within the hierarchal organizational structure through a graphic user interface, and requesting information content corresponding to the manipulated object.

19. (Previously Presented) The method according to claim 1, wherein at least two distinct predetermined hierarchical organizations of information are provided, each having at least three hierarchal levels for a universe of objects, further comprising the steps of:

(a) selecting a relevant hierarchy from among the at least two distinct predetermined hierarchical organizations of information;



- (d) displaying links to the selected objects according to the relevant hierarchy;
- and
- (e) storing at least a subset of the displayed links within the relevant hierarchy as a state independent object.

20. (Previously Presented) The method according to claim 1, further comprising the step of defining a user profile, for modifying at least one of the selection by the object search engine, and a hierarchy.

21. (Original) The method according to claim 1, further comprising the step of presenting the hierarchal organizational structure with an applet, wherein the returned respective resource locators of selected objects are transmitted to the applet, which formats the set of objects in the graphic format hierarchal organizational structure, based on a relationship of a content corresponding to each object.

22. (Previously Presented) The method according to claim 1, further comprising the step of providing an adaptive user profile applet, comprising a collaborative filter for initial classification, which is subsequently modified based on user observation, wherein the user-defined information content criteria is based on an explicit user input and a function of the adaptive user profile applet.

23. (Previously Presented) The method according to claim 1, further comprising the step of defining the hierarchal organizational structure as a user

taxonomic hierarchy of interests, correlating the user taxonomic hierarchy with a set of reference taxonomic hierarchies, and modifying the user taxonomic hierarchy based on sets of rules associated with a reference taxonomic hierarchies having high correlations.

24. (Original) The method according to claim 1, wherein at least one object has an associated digital rights rule, further comprising the step of applying digital rights rules to accesses of objects by the user.

25. (Previously Presented) The method according to claim 24, wherein at least one digital rights rule provides a positive incentive to the user.

26. (Original) A computer readable medium having stored thereon a software program for executing the method according to claim 1.

27. (Amended) A system for providing a human-computer user interface, comprising:

(a) a set of navigational tools for defining and retrieving objects based on a resource locator thereof;

(b) an interface for an object search engine for selecting a set of objects according to a user-defined information content criteria and returning respective resource locators of selected objects; and

(c) an output, presenting:

(i) selected objects automatically located within a hierarchal organizational structure based on an information content of respective objects, a respectively lower hierarchal level falling within a respectively higher hierarchal level having a generic characteristic, wherein objects having related information content are grouped together and each group represents an information classification; and

(ii) objects extrinsic to the set of objects responsive to the user-defined information content criteria, inserted into classes within the hierarchal organizational structure of selected objects, said extrinsic objects having a contextual relevance to respective class in which they are inserted, wherein at least one of an insertion and a selection by the user of an extrinsic object is selectively associated with a sponsor payment; and

(d) a database for storing accounting information relating to said sponsor payments.

28. (Cancelled) ~~The system according to claim 27, wherein objects extrinsic to the user defined information content criteria are inserted into the hierarchal organizational structure of selected objects.~~

29. (Amended) The system according to claim 27 ~~28~~, wherein the extrinsic objects comprise commercial messages.

30. (Amended) The method according to claim 27 ~~28~~, wherein the extrinsic objects comprise objects identified through a collaborative filter process.

31. (Amended) The system according to claim 27 ~~28~~, wherein the extrinsic objects are contextually related to the user-defined information content criteria.

32. (Amended) A method of outputting representations of selected objects organized in a taxonomic hierarchy, comprising the steps of:

- (a) receiving a user input for selecting objects from a set of objects having varying relevance to the user input;
- (b) selecting objects from the set of objects according to a correspondence between the user input and an information content associated with respective objects;
- (c) automatically organizing the selected objects within classes of a taxonomic hierarchy according to a respective information content, the taxonomic hierarchy having at least three levels, a class at a respective level meeting a classification generic for a respective class at inferior level classification below it, and objects at a same inferior level within different classes not being generic for each other; and
- (d) outputting perceptual representations of the selected objects organized within the taxonomic hierarchy;
- (e) inserting objects extrinsic to the set of objects responsive to the user-defined information content criteria, into classes within the hierarchal organizational structure of selected objects, said extrinsic objects having a contextual relevance to respective class in which they are inserted, wherein at least one of an insertion and a

selection by the user of an extrinsic object is selectively associated with a sponsor payment; and

(f) accounting in a database for said sponsor payments.

33. ~~(Cancelled) The method according to claim 32, further comprising the steps of inserting objects extrinsic to the set of objects responsive to the user defined information content criteria, into classes within the hierarchal organizational structure of selected objects, said extrinsic objects having a contextual relevance to respective class in which they are inserted, wherein at least one of an insertion and a selection by the user of an extrinsic object is selectively associated with a sponsor payment; and accounting in a database for said sponsor payments.~~

34. (Amended) The method according to claim 32 ~~33~~, wherein said extrinsic objects comprise at least one hyperlink.

35. (Amended) The method according to claim 32 ~~33~~, further comprising the step of ranking objects within a class based on a sponsor payment consideration.

36. (Amended) The method according to claim 32 ~~33~~, further comprising the step of defining a user profile, for modifying at least one of a selection of objects responsive to the user-defined information content criteria, and a selection of extrinsic objects.

37. (New) A system for providing a human-computer user interface, comprising a processor executing software for defining:
- (a) a set of navigational tools for defining and retrieving objects based on a resource locator thereof;
  - (b) an interface for an object search engine for selecting a set of objects according to a user-defined information content criteria and returning respective resource locators of selected objects; and
  - (c) an output, presenting:
    - (i) selected objects automatically located within a hierarchal organizational structure based on an information content of respective objects, a respectively lower hierarchal level falling within a respectively higher hierarchal level having a generic characteristic, wherein objects having related information content are grouped together and each group represents an information classification; and
    - (ii) objects extrinsic to the set of objects responsive to the user-defined information content criteria, into classes within the hierarchal organizational structure of selected objects, said extrinsic objects having a contextual relevance to respective class in which they are inserted, wherein at least one of an insertion and a selection by the user of an extrinsic object is selectively associated with a sponsor payment.

38. (New) The system according to claim 37, further comprising a sponsor payment database, wherein the sponsor payment is accounted for in the sponsor payment database.

39. (New) The method according to claim 37, wherein the extrinsic objects comprise commercial messages.

40. (New) The method according to claim 37, wherein the extrinsic objects comprise objects identified through a collaborative filter process.

41. (New) The system according to claim 37, wherein the extrinsic objects are contextually related to the user-defined information content criteria.

REMARKS:

Claims 1, 3-5, 7-11, 14-27, 29-32, and 34-41 are in the application.

Claim 1 is amended to generally incorporate the subject matter of claim 33, conformed to provide proper antecedent basis.

Claims 2 and 6 are cancelled as being redundant, and the dependency of claims 3-5 changed to claim 1.

Claims 12-13 are cancelled, since these are now substantially redundant with claims 4-5.

Claim 27 is amended to add the subject matter of claim 33, altered to apparatus formulation. Note that the terminal element of claim 33 comprises a "database", which is believed to meet Examiner's requirement for a memory or processor.

Claim 28 is cancelled as being redundant, and claims 29-31 amended to depend from claim 27.

Claim 33 is cancelled and its subject matter incorporated into claim 32, and claims 34-36 amended to depend from claim 32.

New claims 37-41 roughly correspond to claims 27-31. However, claim 37 adds a processor element, and does not affirmatively claim the database, which is added in claim 38.

It is respectfully submitted that the claims are not allowable.

Applicant notes that it has complied with the Examiner's proposal with respect to the 35 USC 101 rejection without prejudice or disclaimer, and particularly assert that any amendments to the claims with respect to an output, processor or memory are not required for patentability.

If any fees are deemed due in connection herewith, these may be charged to Deposit Account 50-0427.

Respectfully Submitted,

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